

12/27/01
jc945 U.S. PTO

Rev. 10/01

Modified PTO 1082
For Other Than A Small Entity



01-11-02

PATENTS

jc971 U.S. PTO
10/042371

12/27/01

Attorney Docket No. CF-46

Applicant : Andrew C. Gilbert

For : SYSTEMS AND METHODS FOR CREATING AND TRADING DYNAMIC
SECURITIES

EXPRESS MAIL CERTIFICATION

"Express Mail" mailing label number EH623269066US

Date of Deposit December 27, 2001

I hereby certify that this transmittal letter and the other papers and fees identified in this transmittal letter as being transmitted herewith are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to the Hon. Commissioner for Patents, Washington, D.C. 20231.

Lillian Garcia

Hon. Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER FOR UNEXECUTED
ORIGINAL PATENT APPLICATION

Sir:

Transmitted herewith for filing are the ☒ specification;
☒ claims; ☒ abstract; ☒ unexecuted declaration; for the above-identified patent application.

Also transmitted herewith are:

☒ 3 sheets of:

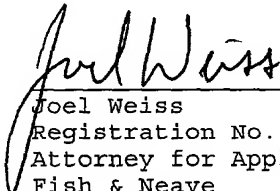
☐ Formal drawings.

☒ Informal drawings. Formal drawings will be filed during the pendency of this application.

The filing fee has been calculated as shown below:

FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
BASIC FEE				\$ 740.00
TOTAL CLAIMS	29 - 20 =	9	x \$ 18 =	\$ 162.00
INDEPENDENT CLAIMS	2 - 3 =		x \$ 84 =	\$ 00.00
<input type="checkbox"/> A MULTIPLE DEPENDENT CLAIM			+ \$280 =	\$
TOTAL				\$ 902.00

- ☒ A check in the amount of \$ 902.00 in payment of the filing fee is transmitted herewith.
- ☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 C.F.R. § 1.16 in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to Deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.
- ☐ Please charge \$ _____ to Deposit Account No. 06-1075 in payment of the filing fee. A duplicate copy of this transmittal letter is transmitted herewith.


Joel Weiss
Registration No. 44,398
Attorney for Applicant
Fish & Neave
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000



PATENTS
Attorney Docket No. CF-46

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicant : Andrew C. Gilbert
Filed : Herewith
For : SYSTEMS AND METHODS FOR CREATING
AND TRADING DYNAMIC SECURITIES

New York, New York 10020
December 27, 2001

BOX PATENT APPLICATION
Hon. Commissioner for Patents
Washington, D.C. 20231

NONPUBLICATION REQUEST
UNDER 37 C.F.R. § 1.213(a)

Sir:

Pursuant to 37 C.F.R. § 1.213(a), applicant hereby requests that the above-identified patent application, which is being filed concurrently herewith, not be published under 35 U.S.C. § 122(b). It is hereby certified that the invention disclosed in the application has not been and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

Respectfully submitted,

Joel Weiss
Reg. No. 44,398
Attorney for Applicant
FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000